

NEW APPLICATION  
ORIGINAL



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BEFORE THE ARIZONA CORPORATION COMMISSION

2009 FEB 19 A 10:05

COMMISSIONERS

KRISTIN K. MAYES, Chairman  
GARY PIERCE  
PAUL NEWMAN  
SANDRA D. KENNEDY  
BOB STUMP

AZ CORP COMMISSION  
DOCKET CONTROL

In the matter of

WACHOVIA SECURITIES, LLC  
One North Jefferson Avenue  
St. Louis, Missouri 63103

DOCKET NO. S-20655A-09-0071

WACHOVIA CAPITAL MARKETS, LLC  
301 South College Street  
TW-8, Mail Code NC0602  
Charlotte, North Carolina 28288-0601

**FILING TO OPEN DOCKET**

Respondents.

The Securities Division of the Arizona Corporation Commission requests that a Docket be opened for the purpose of assigning a docket number to a proposed Order to Cease and Desist, Order for Administrative Penalties, and Consent to Same by the above-referenced respondents. Respondents' mailing addresses are included in the above caption.

Dated this 19<sup>th</sup> day of February 2009.

ARIZONA CORPORATION COMMISSION

By

Cheryl T. Farson

Attorney for the Securities Division of the  
Arizona Corporation Commission

Arizona Corporation Commission  
**DOCKETED**

FEB 19 2009

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